

ORIGINAL



0000094855

GREENBERG TRAURIG, LLP

ATTORNEYS AT LAW

SUITE 700

2375 EAST CAMELBACK ROAD

PHOENIX, ARIZONA 85016

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2009 MAR 25 P 1:10

AZ CORP COMMISSION
DOCKET CONTROL

Brian J. Schulman (SBN 015286)
Attorney for Citigroup Global Markets, Inc.

BEFORE THE ARIZONA CORPORATION COMMISSION

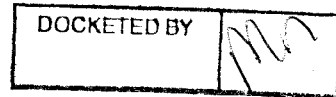
COMMISSIONERS

KRISTIN K. MAYES, Chairman
GARY PIERCE
PAUL NEWMAN
SANDRA D. KENNEDY
BOB STUMP

Arizona Corporation Commission

DOCKETED

MAR 25 2009



In the matter of
CITIGROUP GLOBAL MARKETS, INC.,
388 Greenwich Street
New York, NY 10013

Respondent.

DOCKET NO. S-03538A-09-0096

MOTION AND CONSENT OF LOCAL
COUNSEL FOR TEMPORARY PRO
HAC VICE ADMISSION OF HARRY J.
WEISS

Undersigned counsel, pursuant to Rule 38 of the Rules of the Arizona Supreme Court, moves the Commission, for good cause shown, to temporarily admit Harry J. Weiss as counsel *pro hac vice* in this action. Mr. Weiss desires temporary admission *pro hac vice* to appear on behalf of his client, CitiGroup Global Markets, Inc. at the open meeting before the Arizona Corporation Commission, scheduled for April 14, 2009. Due to unforeseen circumstances, it is necessary for Mr. Weiss to obtain *pro hac vice* admission on short notice.

In support of this motion, the following exhibits are attached hereto:

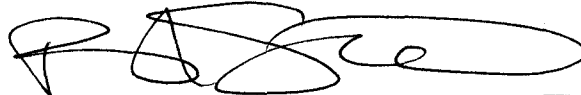
1. the original Verified Application for Appearance *pro hac vice*;

1 2. the original Certificates of Good Standing; and

2 3. the State Bar of Arizona Notice of Receipt.

3 Undersigned counsel, Brian J. Schulman, is currently admitted, practices, and is a
4 member in good standing with the Arizona Bar, and agrees to serve as designated local
5 counsel for the subject case.

6 DATED this 24th day of March, 2009.

7 

8 Brian J. Schulman

9 *Attorney for CitiGroup Global Markets, Inc.*

10
11 ORIGINAL and 13 copies of the foregoing
12 filed this 24th day of March, 2009, with:

13 Arizona Corporation Commission
14 Docket Control Center
15 1200 West Washington
16 Phoenix, AZ 85007-2996

17 COPY of the foregoing hand-delivered
18 this 24th day of March, 2009 to:

19 Matthew J. Neubert, Director
20 Securities Division
21 Arizona Corporation Commission
22 1300 W. Washington, Third Floor
23 Phoenix, AZ 85007

24 Lyn Farmer
25 Arizona Corporation Commission
26 1300 W. Washington, Third Floor
Phoenix, AZ 85007

27 

EXHIBIT 1



Attn: Pro Hac Vice Dept
PO Box 53099
Phoenix, AZ 85072-3099
Phone: 602-340-7239

For Official Use Only
App# 1004549
Bar Number# P170511

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MAR 16 2009

Application for Appearance Pro Hac Vice

PART I: Applicant Information

Name of Applicant: Harry J. Weiss

Firm/Company Name: Wilmer Cutler Pickering Hale and Dorr LLP

Office Address: 1875 Pennsylvania Avenue, NW, Washington, D.C. 20006

Telephone: (202) 663-6993 Fax: (202) 663-6363 Email Address: harry.weiss@wilmerhale.com

Residence Address: 7020 Armat Drive, Bethesda, MD 20817

Title of cause or case where applicant seeks to appear: Order to Cease and Desist, Order for Administrative Penalties, and Consent to Same By: Respondent Citigroup Global Markets, Inc.

Docket Number: S-03538A-09-0096

Court, Board, or Administrative Agency: Arizona Corporations Commission

Party on whose behalf applicant seeks to appear: Citigroup Global Markets, Inc.

Pursuant to Arizona Supreme Court Rule 38(i)(3), the applicant shall complete the information below:

Courts to Which Applicant Has Been Admitted: (Attach additional pages if needed)	Date of Admission:	Bar Number:
<u>Commonwealth of Massachusetts, Supreme Judicial Court</u>	<u>1/18/1977</u>	<u>521180</u>
<u>District of Columbia Court of Appeals</u>	<u>10/4/1993</u>	<u>439369</u>
<u>State of New York, Supreme Court</u>	<u>12/10/2008</u>	<u>4629184</u>
<u> </u>	<u> </u>	<u> </u>

☒ Applicant is a member in good standing in such courts.

☒ Applicant is not currently disbarred or suspended in any court.

Applicant ☐ is / ☒ is not (select one) currently subject to any pending disciplinary proceeding or investigation by any court, agency or organization authorized to discipline attorneys at law.

In the preceding three (3) years, applicant has filed applications to appear as counsel under AZ ST S.Ct., Rule 38(a) in the following:

Title of Matter:	Docket #:	Court or Agency:	App Granted? (Y/N)
<u>N/A</u>	<u> </u>	<u> </u>	<u> </u>
<u> </u>	<u> </u>	<u> </u>	<u> </u>
<u> </u>	<u> </u>	<u> </u>	<u> </u>

This case or cause ☐ is / ☒ is not (select one) a related or consolidated matter for which applicant has previously applied to appear pro hac vice in Arizona. If this matter is a related or consolidated with any previous application, Applicant certifies that he/she will review and comply with appropriate rules of procedure as required in the underlying cause.

If applicable, please provide related or consolidated matter application or docket#

PART II: Local Counsel Information

Name of Arizona Local Counsel: Brian J. Schulman, Greenberg Traurig, LLP

State Bar of Arizona Number: 015286

Address: Suite 700, 2375 east Camelback Road, Phoenix, AZ 85016

Telephone: (602) 445-8000 Fax: (602) 445-8100 Email Address: schulmanb@gtlaw.com

☒ Local Counsel is a member in good standing.

☒ Local Counsel associating with a nonresident attorney in a particular cause shall accept joint responsibility with the nonresident attorney to the client, to opposing parties and counsel, and to court, board, or administrative agency in that particular cause.

PART III: Parties and Certification

Name(s) of each party in this cause and name and address of all counsel of record:

Party:	Counsel of Record:	Address:
<u>Citigroup Global Markets, Inc.</u>	<u>Harry J. Weiss, Juanita A. Crowley</u>	<u>1875 Pennsylvania Avenue, NW</u>
<u></u>	<u>Wilmer Cutler Pickering Hale</u>	<u>Washington, D.C. 20006</u>
<u></u>	<u>and Dorr LLP</u>	<u></u>
<u></u>	<u></u>	<u></u>

☒ Applicant is including with this application a nonrefundable application fee, payable to the State Bar of Arizona, in the amount of \$460.00. Fifteen percent of the non-refundable application fee paid pursuant to this section shall be deposited into a civil legal services fund to be distributed by the Arizona Foundation for Legal Services and Education entirely to approved legal services organizations, as that term is defined in subparagraph (f) of this rule.

☒ Applicant is furnishing a certificate from the state bar or from the clerk of the highest admitting court of each state, territory, or insular possession of the United States in which the nonresident attorney has been admitted to practice law certifying the nonresident attorney's date of admission to such jurisdiction and the current status of the nonresident attorney's membership or eligibility to practice therein. The certificate furnished shall be no more than forty-five (45) days old.

Applicant certifies the following:

1. Applicant shall be subject to the jurisdiction of the courts and agencies of the State of Arizona and to the State Bar of Arizona with respect to the law of this state governing the conduct of attorneys to the same extent as an active member of the State Bar of Arizona, as provided in Rule 46(b) Rules of the Supreme Court.
2. Applicant will review and comply with appropriate rules of procedure as required in the underlying cause.
3. Applicant understands and shall comply with the standards of conduct required of members of the State Bar of Arizona.

Verification

STATE OF New York
County of New York ss.

I, Harry J. Weiss, swear that all statements in the application are true, correct and complete to the best of my knowledge and belief.

Dated: 3/11/09

Applicant's Signature: Harry J. Weiss

IANIS FAITH CREA
NOTARY PUBLIC, STATE OF NEW YORK
NO. 01CR4765064
QUALIFIED IN RICHMOND COUNTY
COMMISSION EXPIRES JUNE 30, 2010

SUBSCRIBED AND SWORN TO before me this 11th day of March, 2009, by

Harry J. Weiss
Name of Applicant

Ianis Faith Crea
Notary Public

EXHIBIT 2

COMMONWEALTH OF MASSACHUSETTS

SUFFOLK, SS.

BE IT REMEMBERED, that at the Supreme Judicial Court holden at Boston within and for said County of Suffolk, on the **eighteenth** day of **January** A.D. **1977**, said Court being the highest Court of Record in said Commonwealth:

Harry J. Weiss

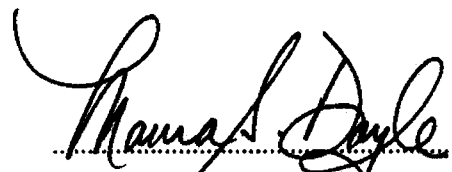
being found duly qualified in that behalf, and having taken and subscribed the oaths required by law, was admitted to practice as an Attorney, and, by virtue thereof, as a Counsellor at Law, in any of the Courts of the said Commonwealth: that said Attorney is at present a member of the Bar, and is in good standing according to the records of this Court*.

In testimony whereof, I have hereunto set my hand and affixed the

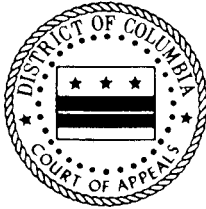
seal of said Court, this **tenth** day of **March**

in the year of our Lord **two thousand and nine**.




MAURA S. DOYLE, Clerk

* Records of private discipline, if any, such as a private reprimand imposed by the Board of Bar Overseers or by any court, are not covered by this certification.



District of Columbia Court of Appeals
Committee on Admissions
500 Indiana Avenue, N.W. — Room 4200
Washington, D. C. 20001
202 / 879-2710

I, GARLAND PINKSTON, JR., Clerk of the District of Columbia Court of Appeals, do hereby certify that

HARRY J. WEISS

was on the 4TH day of OCTOBER, 1993
duly qualified and admitted as an attorney and counselor and
entitled to practice before this Court and is, on the date
indicated below, an active member in good standing of this Bar.

In Testimony Whereof, I have
hereunto subscribed my name
and affixed the seal of this
Court at the City of
Washington, D.C., on March
5, 2009.

GARLAND PINKSTON, JR., CLERK

By: M. Charles
Deputy Clerk



State of New York
Supreme Court, Appellate Division
Third Judicial Department

*I, Michael J. Novack, Clerk of the Appellate Division of the
Supreme Court of the State of New York, Third Judicial Department, do
hereby certify that*

Harry Jay Weiss

*having taken and subscribed the Constitutional Oath of Office as prescribed by
law, was duly licensed and admitted to practice by this Court as an Attorney
and Counselor at Law in all courts of the State of New York on the 10th day
of December, 2008, is currently in good standing and is registered with the
Administrative Office of the Courts as required by section four hundred sixty-
eight-a of the Judiciary Law.*

*In Witness Whereof, I have hereunto set my hand
and affixed the Seal of said Court, at the
City of Albany, this 9th day of March,
2009.*



Michael J. Novack

Clerk

EXHIBIT 3

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**Superior Court
ARIZONA CORPORATION COMMISSION**

In the Matter of Order of Cease and Desist,)
Order for Administrative Penalties, and)
Consent to Same by Respondent Citigroup)
Global Markets, Inc.)

CASE # S-03538A-09-0096

SBA App # 1004549

**NOTICE OF RECEIPT OF
COMPLETE APPLICATION**

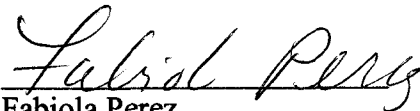
NOTICE IS HEREBY given by THE STATE BAR OF ARIZONA that it has
received the verified application and fee from Harry Weiss .

In addition to this application, applicant has made the following applications to appear
pro hac vice, pursuant to Rule38 (a), within the previous three (3) years:

Title of Matter	Court/Agency	Date	Granted?	
			<input type="checkbox"/>	<input type="checkbox"/>
			Yes	No
			<input type="checkbox"/>	<input type="checkbox"/>
			Yes	No

Exhibit A, the original verified application and Exhibit B, the original Certificate(s) of
Good Standing are attached hereto.

DATED this 20th day of March 2009



Fabiola Perez
Resource Center
State Bar of Arizona

Original Mailed on this 20th day of March 2009 to:

Mr Brian Schulman
Greenberg Traurig LLP
2375 E Camelback Rd Suite 700
Phoenix, AZ 85016-9000